

1FW



PATENT  
Attorney Docket No.: UBC1180-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Hancock et al.	Art Unit:	1614
Application No.:	10/661,471	Examiner:	Not Yet Assigned
Filed:	September 12, 2003	Conf. No.:	7167
Title:	EFFECTORS OF INNATE IMMUNITY DETERMINATION		

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL SHEET**

Sir:

Transmitted herewith for the above-identified application, please find:

- (1) Information Disclosure Statement (2 pgs.);
- (2) PTO Form 1449 (2 pgs.);
- (3) Fifteen (15) References;
- (4) International Search Report (14 pgs.); and
- (5) Return postcard.

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on **September 10, 2004**, in an envelope addressed to: Mail Stop Amendments, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

  
\_\_\_\_\_  
Lisa E. Jambeau

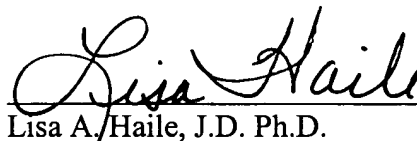
In re Application of:  
Hancock et al.  
Application No.: 10/661,471  
Filed: September 12, 2003  
Page 2

PATENT  
Attorney Docket No.: UBC1180-2

No fee is deemed necessary in connection with the filing of this Information Disclosure Statement as the items of information contained in this statement were cited in a communication from a foreign patent office in a counterpart foreign application, the communication being dated June 11, 2004, which is not more than three months prior to the filing of this statement. However, if any fee is required, authorization is hereby given to charge the amount of any such fee, or credit any overpayment, to Deposit Account No. 50-1355.

Respectfully submitted,

Date: September 10, 2004



Lisa A. Haile, J.D. Ph.D.  
Registration No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-2133  
USPTO Customer No. 28213



PATENT  
Attorney Docket No.: UBC1180-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Hancock et al.	Art Unit:	1614
Application No.:	10/661,471	Examiner:	Not Yet Assigned
Filed:	September 12, 2003	Conf. No.:	7167
Title:	EFFECTORS OF INNATE IMMUNITY DETERMINATION		

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

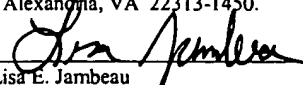
Sir:

In accordance with 37 C.F.R. § 1.97, enclosed are references relating to the above-identified application. Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. Additional references, not cited on the communication, have also been included. For the convenience of the Examiner, these references are listed on the attached Form PTO-1449 and copies are enclosed herewith.

It is respectfully requested that these references be considered in the examination of this application and their consideration be made of written record in the application file.

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on September 10, 2004, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
\_\_\_\_\_  
Lisa E. Jambeau


In re Application of:  
Hancock et al.  
Application No.: 10/661,471  
Filed: September 12, 2003  
Page 2

PATENT  
Attorney Docket No.: UBC1180-2

No fee is deemed necessary in connection with the filing of this Information Disclosure Statement as the items of information contained in this statement were cited in a communication from a foreign patent office in a counterpart foreign application, the communication being dated June 11, 2004, which is not more than three months prior to the filing of this statement. However, if any fee is required, authorization is hereby given to charge the amount of any such fee, or credit any overpayment, to Deposit Account No. 50-1355.

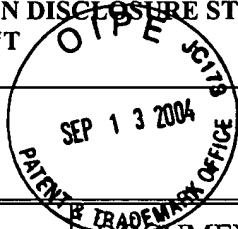
Respectfully submitted,

Date: September 10, 2004

  
\_\_\_\_\_  
Lisa A. Haile, J.D., Ph.D.  
Registration No.: 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-2133  
USPTO Customer Number 28213

<b>FORM PTO-1449</b> U.S. Department of Commerce Patent and Trademark Office	<b>Docket No.</b> UBC1180-2	<b>Serial No.:</b> 10/661,471
	<b>Applicant:</b> Hancock et al.	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	<b>Filing Date:</b> September 12, 2003	<b>Group Art Unit:</b> 1614



### U.S. PATENT DOCUMENTS

EXAM. INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA	6,040,435A	03/21/2000	Karunarante et al.			

### FOREIGN PATENT DOCUMENTS

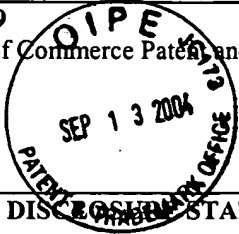
EXAM. INITIALS	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION (YES/NO)
AB	WO0012528A	03/09/2000	Canada			No

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages)

AC	Scott MG. et al., "An alpha-Helical Cationic Antimicrobial Peptide Selectively Modulates Macrophage Responses to Lipopolysaccharide and Directly Alters Macrophage Gene Expression", <i>The Journal of Immunology</i> , Vol. 165, 3358-3365, 2000
AD	Scott, MG. et al., "Biological Properties of Structurally Related alpha-Helical Cationic Antimicrobial Peptides", <i>Infection and Immunity</i> , Vol. 67, No. 4, 2005-2009, April 1999 (1999-04)
AE	Hancock R.E. et al., "The role of antimicrobial peptides in animal defense", <i>Proceedings of The National Academy of Sciences of The United States of America</i> , Vol. 97, No. 16, 8856-8861, August 1, 2000
AF	Luftfalla, G. et al., "Mutant U5A cells are complemented by an interferon-alpha beta receptors subunit generated by alternative processing of a new member of a cytokine receptor gene cluster", <a href="http://www.ncbi.nlm">http://www.ncbi.nlm</a> , accession no. L042243, April 4, 1996
AG	Mishima, K. et al., "ARD1, a 64-kDa guanine nucleotide-binding protein with a carboxyl-terminal ADP-ribosylation factor domain", <a href="http://www.ncbi.nlm">http://www.ncbi.nlm</a> , accession no. L04510, June 12, 1993

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM PTO-1449</b> U.S. Department of Commerce Patent and Trademark Office	<b>Docket No.</b> UBC1180-2	<b>Serial No.:</b> 10/661,471
	<b>Applicant:</b> Hancock et al.	
	<b>Filing Date:</b> September 12, 2003	<b>Group Art Unit:</b> 1614
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		

AH	Van Wetering, S., "Defensins: Key Players or Bystanders in Infection, Injury, and Repair in the Lungs?", <i>Journal of Allergy and Clinical Immunology</i> , Mosby-Yearlybook, Inc., US, Vol. 104, No. 6, 1131-1138, 1999
AI	Doranz, B.J. et al., "A Small-Molecule Inhibitor Directed Against The Chemokine Receptor CXCR4 Prevents its Use as an HIV-1 Coreceptor", <i>Journal of Experimental Medicine, Tokyo, JP</i> , Vol. 186, No. 8, 1395-1400, October 20, 1997
AJ	Sareneva, T. et al., "Ifn- $\alpha$ and IL-12 Induce IL-18 Receptor Gene Expression in Human NK and T Cells," <i>The Journal Of Immunology</i> , Vol. 165: 1993-1938, 2000
AK	Wu, H. et al. " Regulation of Cathelicidin Gene Expression: Induction by Lipopolysacchride, interleukin-6, Retinoic Acid, and <i>Salmonella enterica</i> Serovar Typhimurium Infection", <i>Infection and Immunity</i> , 5552-5558, 2000
AL	Scott, M.G. et al., "Cationic Antimicrobial Peptide and Their Multifunctional Role in the Immune System", <i>Critical Review in Immunology, CRC Press</i> , Vol. 20, 407-431, 2000
AM	Hancock, R.E. and Lehrer, R., "Cationic peptides: a new source of antibiotics", <i>Trends in Biology, Elsevier Publication</i> , Vol. 16, No. 2, February 1, 1998
AN	Hancock, R.E., "Catitonic peptides:effectors in innate immunity and novel antimicrobials", <i>The Lancet Infectious Diseases</i> , Vol. 1 No. 3, 156-164, October 2001
AO	Mcquibban, G.A. et al., "Matrix Metalloproteinase Activity Inactivates the CXC Chemokine Stromal Cell-derived Factor-1", <i>The Journal of Biological Chemistry</i> , Vol. 276, No. 47, November 23, 2001

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.